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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

5

Application Number

10/529,512

Filing Date

March 25, 2005

First Named Inventor

White et al.

Art Unit

NA

Examiner Name

NA

Attorney Docket Number

SWA-007US1

**ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation☐ Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication to TC☐ Appeal Communication to Board  
of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify  
below):**Remarks**

- \* PTO Form 1449
- \* Copies of 13 references
- \* Postcard

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Keown &amp; Associates

Signature

Printed name

Joseph C. Zuccheri

Date

July 1 2005

Reg. No.

55,762

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

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Typed or printed name

Melissa Simpson

Melissa SIMPSON

Date

7/1/05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: White et al.  
Application No.: 10/529,512 Group: NA  
Filed: March 25, 2005 Examiner: NA  
Confirmation No.: NA

For: NUCLEAR RECEPTOR TRANSCRIPTIONAL COREPRESSOR

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**CERTIFICATE OF MAILING**

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Date: 7/1/05

Signature: Melissa Simpson  
Printed Name: MELISSA SIMPSON

\*\*\*\*\*  
**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either  
☐ a Statement under 37 CFR 1.97(e), as check below, or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:  
☐ a Statement under 37 CFR 1.97(e), as check below, or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.

(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
  - ☒ Copies of the cited references are enclosed.
  - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contained copies of the cited referenced]
  - ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
  - ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
    - ☐ the explanation provided on the attached sheet.
    - ☐ the explanation provided in the Specification.
    - ☐ submission of the enclosed International Search Report.
    - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
    - ☐ the enclosed English language abstract.

☐ Applicant request that the following non-published pending application be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s), filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s), filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s), filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending application indicating which references were considered with the net office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of Payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 50-2285 in the amount of \$[ ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 50-2285.

Date: July 12, 2005

Respectfully submitted,

By: Joseph C. Zuccherro  
Joseph C. Zuccherro  
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Subt. Form PTO-1449  <b>INFORMATION DISCLOSURE IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number	Application Number
	SWA-007US1	10/529,512
	Applicant	
	White et al.	
Filing Date	Group Art Unit	
3/25/05	NA	

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	IDENTIFIER	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	IDENTIFIER	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER INITIAL	IDENTIFIER	
	C1	Chawla, A. et al., "Nuclear Receptors and Lipid Physiology: Opening the X-Files", Science, 294:1866-1870 (2001)
	C2	Brzozowski, A.M. et al., "Molecular Basis of Agonism and Antagonism in the Oestrogen Receptor", Nature, 389:753-758 (1997)
	C3	Rosenfeld, M.G. et al., "Coregulator Codes of Transcriptional Regulation by Nuclear Receptors", J. Biol. Chem., 276(40):36865-36868 (2001)
	C4	Khochbin, S. et al., "Functional Significance of Histone Deacetylase Diversity", Curr. Opin. Genet. Dev., 11:162-166 (2001)
	C5	Pepe, G.J. et al., "Actions of Placental and Fetal Adrenal Steroid Hormones in Primate Pregnancy", Endocrine Rev., 16(5):608-648 (1995)
	C6	Sigmund, T. et al., "Development Genes and Evolution", Dev. Genes Evol., 212:152-157 (2002)
	C7	Shiau, A.K. et al., "The Structural Basis of Estrogen Receptor/Coactivator Recognition and the Antagonism of This Interaction by Tamoxifen", Cell, 95:927-937 (1998)
	C8	Dahiya, A. et al., "Linking the Rb and Polycomb Pathways", Mol. Cell, 8:557-568 (2001)
	C9	Kato, S. et al., "Activation of the Estrogen Receptor Through Phosphorylation by Mitogen-Activated Protein Kinase", Science, 270:1491-1494 (1995)
	C10	Aumais, J. et al., "Function of Directly Repeated Half-Sites as Response Elements for Steroid Hormone Receptors", Biol. Chem., 271(21):12568-12577 (1996)
	C11	Lee, H.S. et al., "Hormone-Dependent Transactivation by Estrogen Receptor Chimeras That Do Not Interaction with hsp90", J. Biol. Chem., 271(42):25727-25730 (1996)
	C12	Renaud, JP et al., "Structural Studies on Nuclear Receptors", Cell & Mol. Life Sci., 57:1748-1769 (2000)
	C13	Eng, F.C.S. et al., J. Biol. Chem., 273:28371-28377 (1998)

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy with next communication to Applicant.